

Chapter 8 EERE Program Management Information Resources and Tools



8.1 Complementary Systems – CPS & EERE Data Center

Efficient and effective program management relies on accurate and timely data and information to support each of the major elements of the EERE Strategic Management System: planning, budget formulation, program implementation, and analysis and evaluation. This information needs to link and flow through and across SMS program management cycles to ensure consistent and timely preparation of products and effective tracking of implementation. EERE has made substantial investments in two separate information system development initiatives that complement each other and come together to form a virtual comprehensive information system. These two elements are the EERE Corporate Planning System (CPS) and the EERE Data

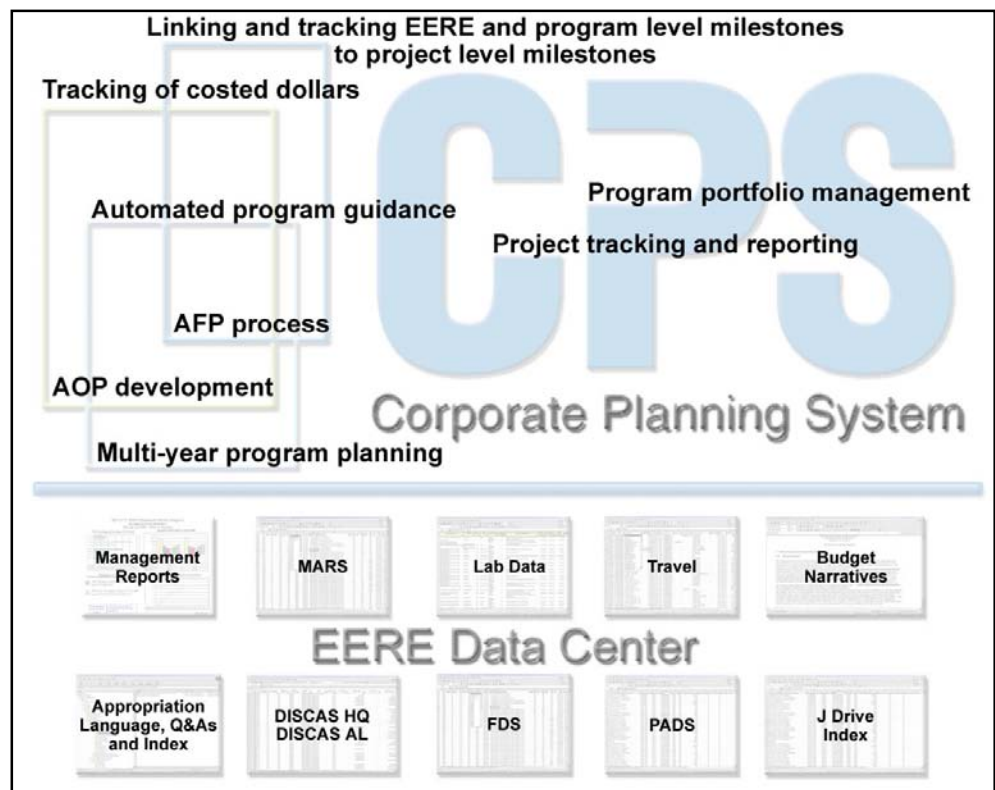


Figure 8.1 EERE CPS/Data Center

The EERE Data Center information is presented on spreadsheets that allow the user to quickly filter or relate the data in many ways.

Center. CPS provides major support for planning and budgeting efforts, while the Data Center generally focuses on the collection of budget execution and program and project status data for tracking and control. Figure 8.1 depicts the two systems.

8.2 EERE Corporate Planning System

EERE's CPS helps manage, monitor and develop Congressional Budget Requests, spend plans, budgets, project data, and portfolio performance. It supports multi-year program planning, AOP development, and automated program guidance letter creation. CPS allows the user to create and manage portfolios in real time, tie projects and milestones to fiscal year budgets, and track contact information for the organizations and individuals; in addition, allows field personnel to review and modify portfolio information. It also allows real time integration with SBIR and STTR. The system stores a range of necessary data, such as DOE investments, carry-over, and cost-share; GPRA energy benefits; total project development time; and technical progress. Other information such as quarterly and final reports can be uploaded and addressed through the system.

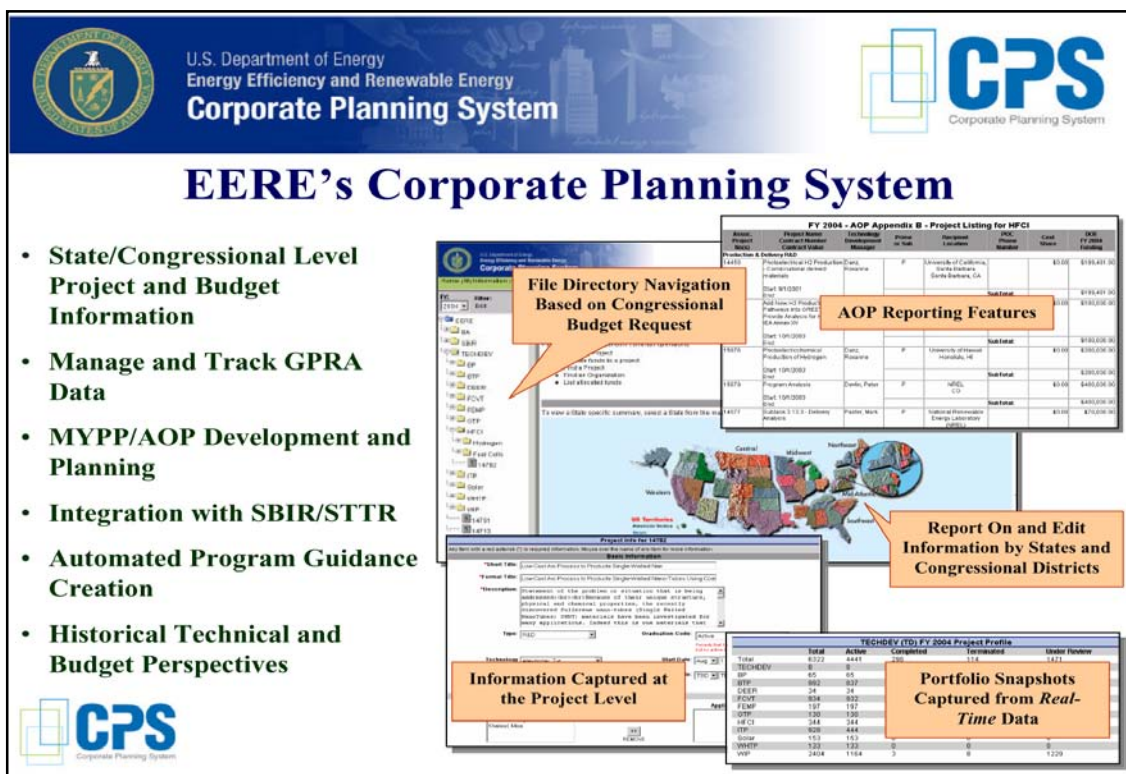


Figure 8.2 EERE Corporate Planning System (CPS)

The goal of CPS is to provide a seamless operational and managerial link between all EERE program and project-level activities. EERE has developed basic data definitions and systems to conduct operations and has established proper CPS operational roles and responsibilities among program managers, technology managers, budget analysts, and project managers in the field. These responsibilities are shown in the following table.

| | Program Manager | Budget Analyst | Technology Managers (HQ) | Project Managers (Field) |
|-----------------------------|--|--|--|---|
| Project Tracking | Provide Executive Oversight and Approvals | | <ul style="list-style-type: none"> • Create Solicitation Activity in CPS • Create Project Record • Required Fields (responsible for): <ul style="list-style-type: none"> - Graduation Code - Budget Analyst - Direct and Relevant - Field Office - Federal Funding - Initial Milestone • Create Initial Milestone | <ul style="list-style-type: none"> • Agreement Awards <ul style="list-style-type: none"> - Start Date - Completion Date • Required Fields (responsible for): <ul style="list-style-type: none"> - Partners and Recipients - Field Project Manager - Funding Mechanism - ID numbers - Milestones - Report postings - Project Start Date - Completion Date • Create Additional Milestone(s) • Update Milestones |
| Program Guidance | Provide Executive Oversight and Approvals <ul style="list-style-type: none"> • Review for Maximum Competition • Review Proposed Lab Subcontracts • Assure work directly supports program or project efforts in the field • Assure funding is correct and consistent with Congressional intent. | <ul style="list-style-type: none"> • Input and verify Appropriation from Congress • Approve Guidances • Develop Letters | <ul style="list-style-type: none"> • Planned Total Allocated (determine value for the project at the B&R level) • Create Guidance (assigned) • Execute Guidance to Budget Analysts • Work Authorization Forms • Purchase Request for HQ • View Letters | <ul style="list-style-type: none"> • View Approved Letters • Field Purchase Requests |
| MYPP | Provide Executive Oversight and Approvals | | Plan and Create Multi-Year Program Activities <ul style="list-style-type: none"> - MY Projects - Funding profile - Major Barriers - Performance Measures | |
| AOP | Provide Executive Oversight and Approvals | | Provide fiscal year planning budget and identify activities to be performed in the reported year. | Provide additional project details to be included in report |
| Spend Plan | | Create Guidance Letters | <ul style="list-style-type: none"> • Create Spend Plan Line Item in CPS • Update Spending Profiles <ul style="list-style-type: none"> • Project Description • Major Performers • Funding • Metrics • Develop Guidance Language | |
| Milestones | Create Program Milestones\Measures\Metrics | | Create Key Project Milestones | Enter Agreement Milestones |
| Performance Measures | Create Program Milestones\Measures\Metrics | | | |

Table 8.1 Primary CPS roles and responsibilities

In continuing development, CPS in the future will introduce additional functionality including:

- Linking and tracking EERE and program level milestones to project-level milestones
- Tracking of costed dollars
- Inclusion of historical project and budget data
- Implementation of a paperless AFP process
- Implementing advanced reporting features of funding portfolios
- Multi-year program planning, AOP development, automated program guidance, project tracking and reporting, and program portfolio management.

Detailed information on CPS use is contained in the CPS Desk Reference (http://ee-intranet/is/documents/desk_reference.doc)

8.3 EERE Data Center

The other essential tool for the program management team is the EERE Data Center, a set of spreadsheets, tables and text in folders on the EERE “J” Drive. These folders are populated with program information and routinely updated to help manage the overlapping program management cycles for several fiscal years simultaneously. These Data Center files serve as building blocks to plan, budget and implement program activities. They also are used to record implementing actions, including tasking (work assignments, contracts, grants and cooperative agreements) and related obligations and expenditures. Finally, they facilitate the tracking of program progress against goals, objectives, milestones and planned and appropriated funding.

The EERE Data Center standardizes and integrates EERE financial, procurement, and acquisition information in a virtual warehouse where DOE-level databases have been selected and downloaded specifically for EERE use. It provides much of the information required for supporting the SMS planning, formulation, execution and evaluation cycle at all levels within EERE including the program level. The structure and general content of the EERE Data Center is shown in the Figure below.

The three primary uses of the Data Center are to:

- Establish a uniform corporate information repository to respond quickly to inquiries,
- Simplify and integrate access to and use of information related to EERE resources, milestones and results, and
- Improve EERE program and project management.

The following are the types of information offered by the EERE Data Center and the applicable uses for the program management team and EERE organizational elements. Information on DOE departmental budget and finance systems is found at <http://www.cfo.doe.gov/crorg/products.cfm> under the “Major Systems” category.

8.3.1 Financial

The monthly Financial Information System/Management Analy-

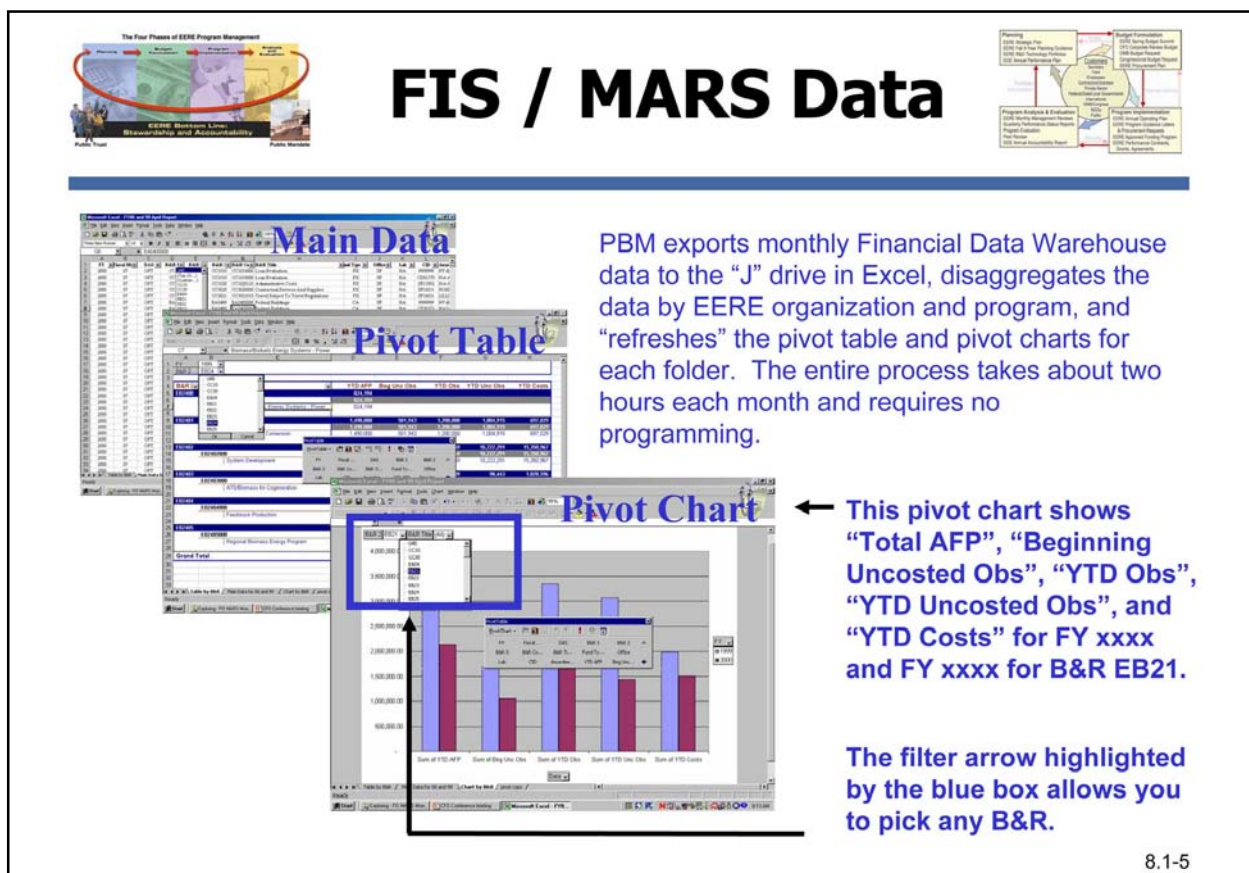


Figure 8.3 FIS/MARS Data

sis Reporting System (MARS) download includes funding, obligation, cost, and uncosted data for each EERE contract or financial assistance instrument by office, national laboratory, awardee, CID, program, subprogram, category, and appropriation symbol. This download should be used monthly throughout EERE in the execution part of the cycle to identify cost trends and to assure that the timing of obligations and costs is consistent with the needs of the particular project.

Procurement. The monthly Procurement and Assistance Data Systems (PADS) download includes the location, contract value, start date, end date, and a wide range of other data regarding each EERE procurement. This download should be used monthly throughout EERE in the execution part of the cycle as a means to 1) ascertain the status of all current procurements, 2) plan procurement actions required to replace expiring procurements, and 3) answer questions regarding the location (state or congressional district) or type (small business set-aside) of EERE Contracts, cooperative agreements, and grants.

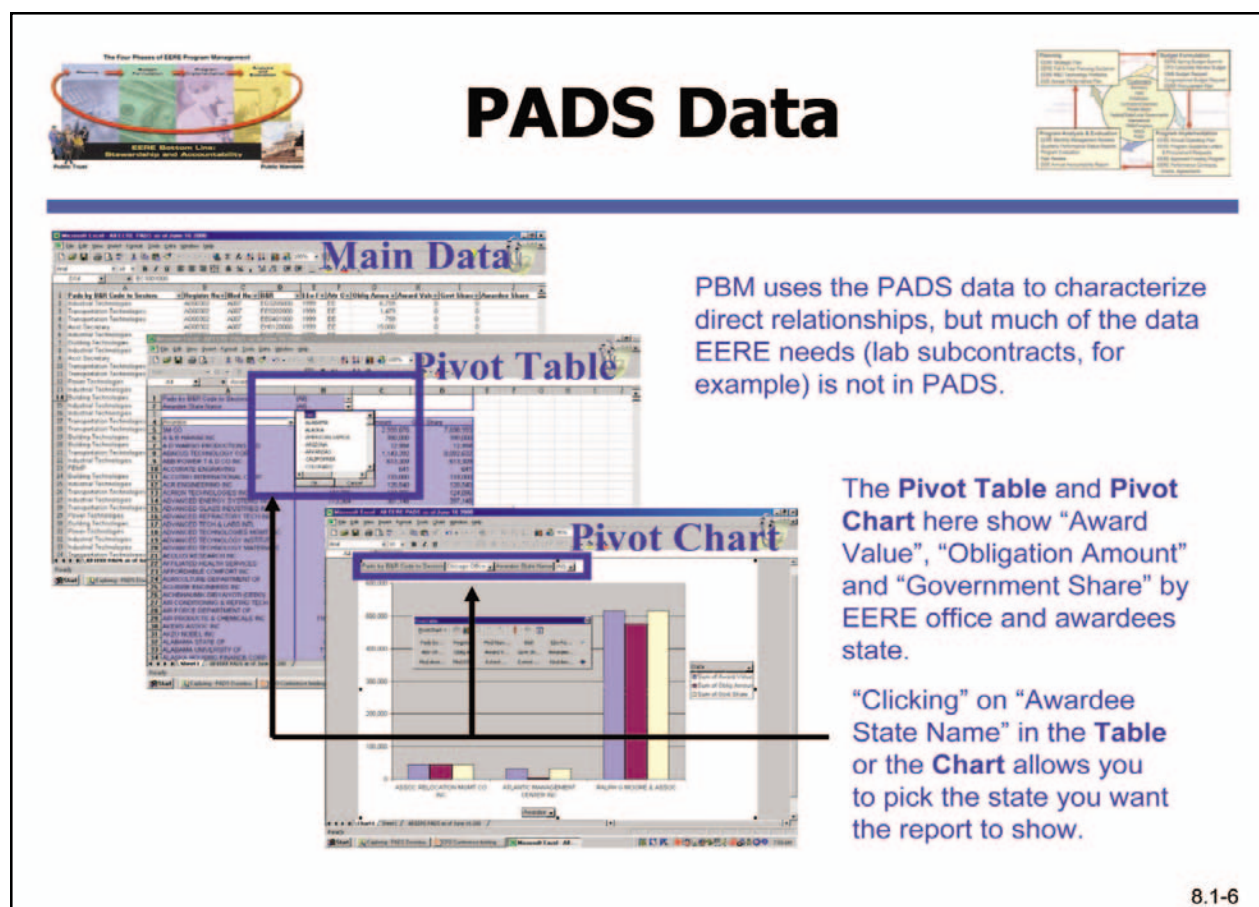


Figure 8.4 PADS Data

8.3.2 Laboratory Data

The monthly DOE national laboratory downloads include budget and procurement data as provided monthly by the National Renewable Energy Laboratory, Oak Ridge National Laboratory, Argonne National Laboratory and others as their information becomes available for downloading. No departmental system identifies individual national laboratory procurements, so these downloads provide the only routine means for EERE organizations to review and report on the timeliness and status of national laboratory procurements. The timeliness of such procurements often impacts significantly on the progress of major projects as well as the funding schedule.

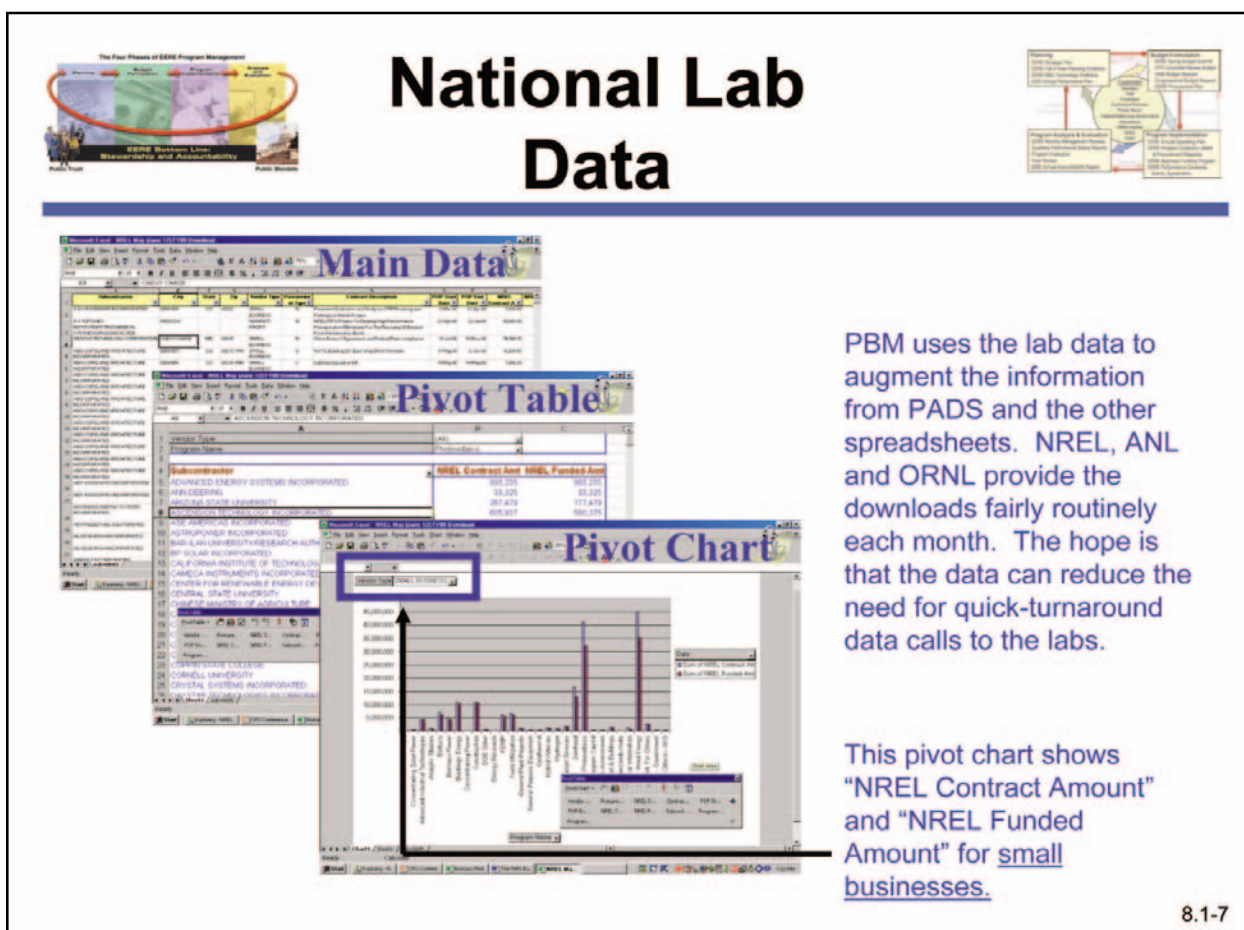


Figure 8.5 National Lab Data

8.3.3 Financial Status Reports

This folder houses the programs' monthly Financial Status Report as prepared by OPES and discussed by the DAS's once a month in the ASEE Senior Staff meeting generally held each week. The first page of this two-page PowerPoint report includes three charts and a "Highlights and Cautions" section summarizing the status of obligations, costs, unobligated, and uncosteds for the program as reported by the DOE Financial Data Warehouse and maintained in the "FIS MARS Monthly Reports" folder provided each program.

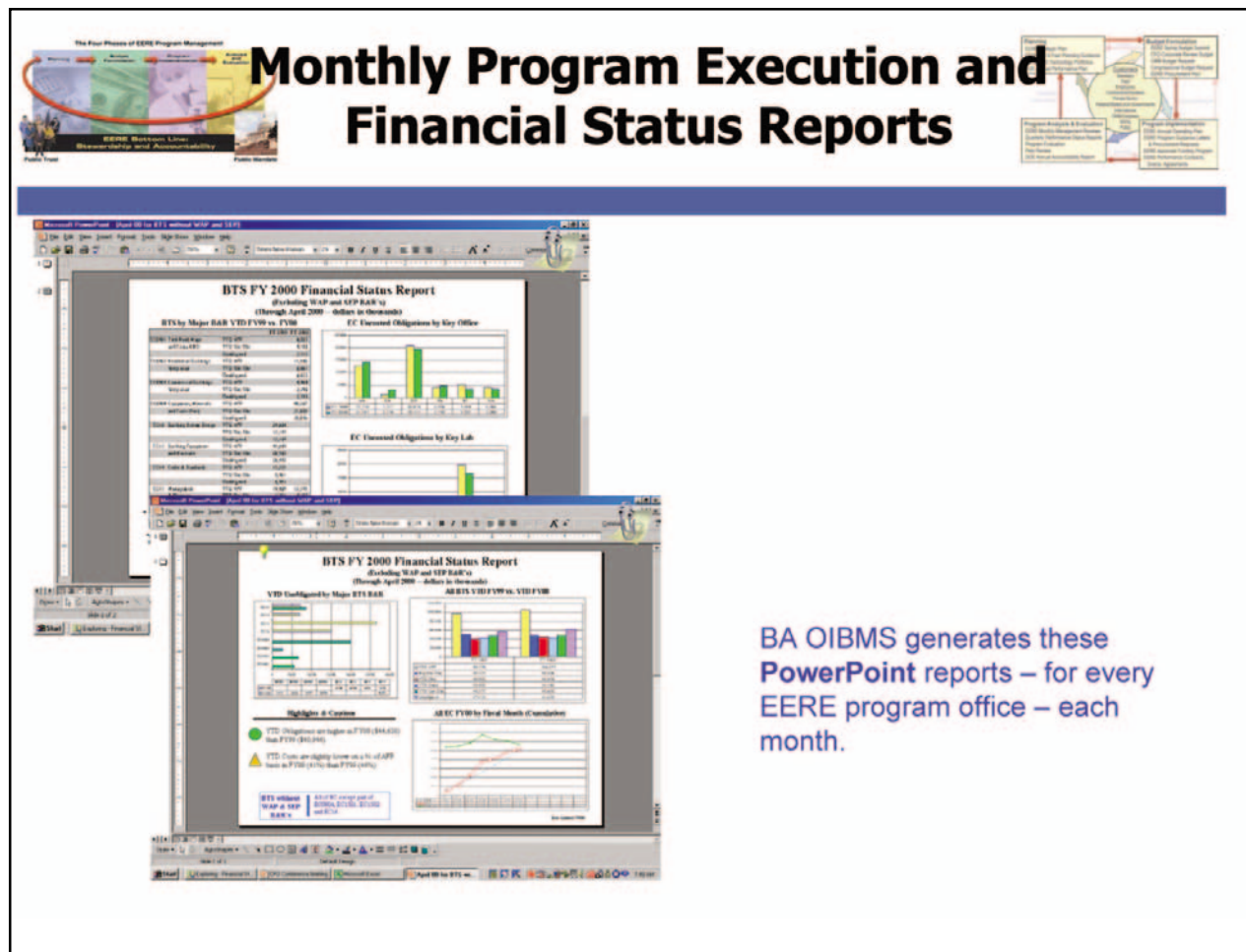


Figure 8.6, Monthly Program Execution Financial Status Reports

8.3.4 Budget Narratives

This folder provides a complete copy of the program's budget requests beginning with the FY 2001 Congressional Budget Request. Each of the files—there are several for each folder for each request—include long file names and sequential numbering to make them easy to find.

For detailed instructions on how to access and use the EERE Data Center folders, see Appendix E-2.

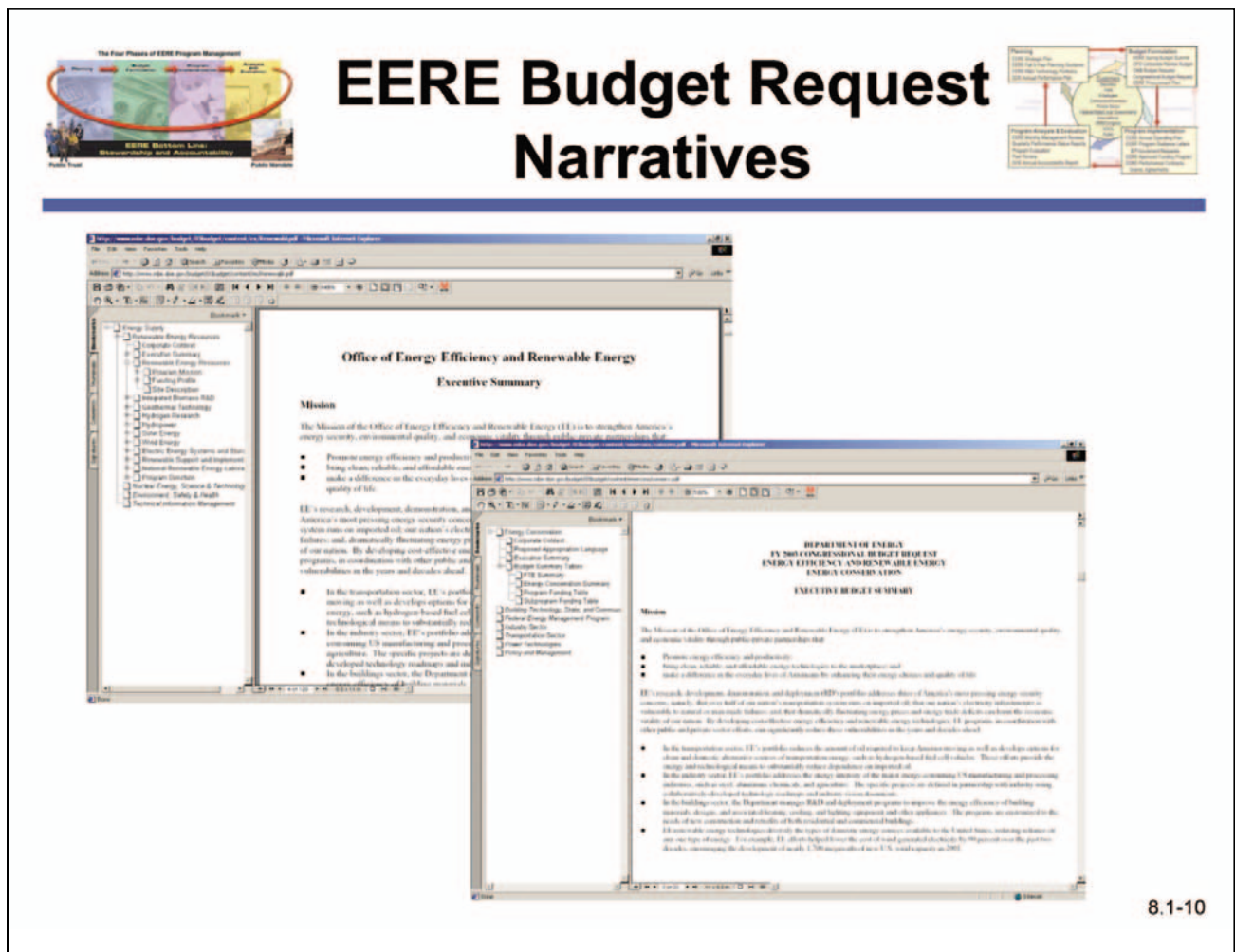


Figure 8.7, Budget Narratives

8.4 e-Grants

The Federal Government is embarking on a Government-wide effort to produce a simple, unified “storefront” for all customers of Federal grants to electronically find opportunities, apply, and manage grants. Additionally, this capability should facilitate the quality, coordination, effectiveness and efficiency of operations for grant makers and grant recipients. The goals of this effort are as follows:

- Eliminate the burden of redundant or disparate electronic and paper-based data collection requirements,
- Define and implement simplified standard processes and standard data definitions for Federal grant customer interactions,
- Protect the confidentiality, availability, and integrity of data, and
- Standardize the collection of financial and progress report data in support of audit and performance measurement activities.

As the single source to find Federal government-wide competitive grant opportunities, e-Grants will help the grant community learn more about available opportunities in a standardized manner and avoid the need for applicants to learn multiple agency or program-specific application processes/systems.

As e-Grants evolves, program and project management teams in EERE will be required to comply with its rules and procedures. Assistance in this regard will be provided by the Headquarters OPES and Field procurement officials and analysts.